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PTO/SB/21 (09-04)

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## TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Total Number of Pages in This Submission

20

Application Number

10/769,415

Filing Date

January 30, 2004

First Named Inventor

Andrew G. Tucker, et al.

Art Unit

2183

Examiner Name

NYA

Attorney Docket Number

15437-0591

### ENCLOSURES (Check all that apply)



Fee Transmittal Form

☐ Fee Attached



Amendment/Reply

☐ After Final

☐ Affidavits/declaration(s)



Extension of Time Request



Express Abandonment Request



Information Disclosure Statement



Certified Copy of Priority Document(s)



Reply to Missing Parts/  
Incomplete Application

☐ Reply to Missing Parts under 37  
CFR 1.52 or 1.53



Drawing(s)



Licensing-related Papers



Petition



Petition to Convert to a  
Provisional Application



Power of Attorney, Revocation



Change of Correspondence Address



Terminal Disclaimer



Request for Refund



CD, Number of CD(s) \_\_\_\_\_

☐ Landscape Table on CD



After Allowance Communication  
to TC



Appeal Communication to Board  
of Appeals and Interferences



Appeal Communication to TC  
(Appeal Notice, Brief, Reply Brief)



Proprietary Information



Status Letter



Other Enclosure(s) (please  
Identify below):

- Preliminary Amendment, and
- Acknowledgment Postcard.

#### Remarks

The Director is hereby authorized to charge any additional fee(s) or underpayments of fee(s) under 37 CFR 1.16 and 1.17 to Deposit Account Number 50-1302  
Deposit Account Name: Hickman Palermo Truong & Becker LLP

### SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm Name

Hickman Palermo Truong & Becker LLP

Signature

Printed name

Bobby K. Truong

Date

February 7, 2007

Reg. No.

37,499

### CERTIFICATE OF TRANSMISSION/MAILING

I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below:

Signature

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Annette Jacobs

Date

February 7, 2007

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SUN030221-US-NP

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Effective on 12/08/2004.

Fees pursuant to the Consolidated Appropriations Act, 2005 (H.R. 4818).

**FEE TRANSMITTAL**  
**For FY 2005**☐ Applicant claims small entity status. See 37 CFR 1.27**TOTAL AMOUNT OF PAYMENT (\$)** 0.00**Complete if Known**

Application Number	10/769,415
Filing Date	January 30, 2004
First Named Inventor	Andrew G. Tucker, et al.
Examiner Name	NYA
Art Unit	2183
Attorney Docket Number	15437-0591

**METHOD OF PAYMENT (check all that apply)**
☐ Check   ☐ Credit Card   ☐ Money Order   ☐ None   ☐ Other (please identify): \_\_\_\_\_
Deposit Account   Deposit Account Number: **50-1302**   Deposit Account Name: **Hickman Palermo Truong & Becker LLP**

For the above-identified deposit account, the Director is hereby authorized to: (check all that apply)

☐ Charge fee(s) indicated below   ☐ Charge fee(s) indicated below, except for the filing fee  
☒ Charge any additional fee(s) or underpayments of fee(s)   ☐ Credit any overpayments  
under 37 CFR 1.16 and 1.17
**WARNING:** Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.**FEE CALCULATION****1. BASIC FILING, SEARCH, AND EXAMINATION FEES**

Application Type	FILING FEES		SEARCH FEES		EXAMINATION FEES		Fees Paid (\$)
	Fee (\$)	Small Entity Fee (\$)	Fee (\$)	Small Entity Fee (\$)	Fee (\$)	Small Entity Fee (\$)	
Utility	300	150	500	250	200	100	
Design	200	100	100	50	130	65	
Plant	200	100	300	150	160	80	
Reissue	300	150	500	250	600	300	
Provisional	200	100	0	0	0	0	

**2. EXCESS CLAIM FEES**

Fee Description	Small Entity Fee (\$)	Fee (\$)
Each claim over 20 (including Reissues)	50	25
Each independent claim over 3 (including Reissues)	200	100
Multiple dependent claims	360	180
<b>Total Claims</b>	<b>Extra Claims</b>	<b>Fee (\$)</b>
27	- 27 or HP = 0	x = 0.00
HP = highest number of total claims paid for, if greater than 20.		
<b>Indep. Claims</b>	<b>Extra Claims</b>	<b>Fee (\$)</b>
3	- 3 or HP = 0	x = 0.00
HP = highest number of independent claims paid for, if greater than 3		
	<b>Multiple Dependent Claims</b>	<b>Fee (\$)</b>
	<b>Fee (\$)</b>	<b>Fee Paid (\$)</b>

**3. APPLICATION SIZE FEE**

If the specification and drawings exceed 100 sheets of paper (excluding electronically filed sequence or computer listings under 37 CFR 1.52(e)), the application size fee due is \$250 (\$125 for small entity) for each additional 50 sheets or fraction thereof. See 35 U.S.C. 41(a)(1)(G) and 37 CFR 1.16(s).

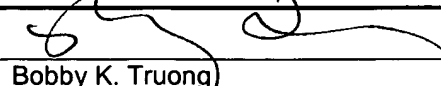
Total Sheets	Extra Sheets	Number of each additional 50 or fraction thereof	Fee (\$)	Fees Paid (\$)
- 100 =	/ 50 =	(round up to a whole number) x	=	

**4. OTHER FEE(S)**

Non-English Specification, \$130 fee (no small entity discount)

Other (e.g., late filing surcharge) \_\_\_\_\_

**SUBMITTED BY**

Signature		Registration No. 37,499 (Attorney/Agent)	Telephone 408-414-1234
Name (Print/Type)	Bobby K. Truong	Date	February 7, 2007

SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450. If you need assistance in completing the form, call 1-800-PTO-9199 and select opti



Docket No.: 15437-0591

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re application of:

Group Art Unit No.: 2183

Andrew G. Tucker, et al.

Examiner: NYA

Serial No.: 10/769,415

Confirmation No.: 8014

Filed on: January 30, 2004

For: FINE-GRAINED PRIVILEGES IN OPERATING SYSTEM PARTITIONS

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**PRELIMINARY AMENDMENT**

Sir:

Prior to examining the above-referenced application, please amend the application as follows.